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MPI 18607 Project Report

Building engagement and social licence: Research overview and recommendations

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Executive summary

The problem

In 2017 the Ministry for Primary Industries (MPI) commissioned research into myrtle rust (*Austropuccinia psidii*) to address critical knowledge gaps in social, cultural and scientific knowledge relating to the management of myrtle rust in NZ, as identified by the Strategic Science Advisory Group (SSAG). A priority research theme identified as part of this process was 'building engagement and social licence'. The overall outcome of this research is an improved understanding of the impacts of myrtle rust response activities to help guide agencies and other decision makers involved in incursion response and long-term management of myrtle rust.

Both Social Licence to Operate (SLO) and engagement are important, but complex, areas of agency-led operational management for Myrtle Rust, and biosecurity in general. However, efforts to develop and maintain both SLO and engagement (particularly partnerships) are often hampered by a lack of clarity around the different components that underpin these concepts. Tools to guide and evaluate progress in these areas need to be able to help the actors involved to see the bigger picture, and where any individual lessons from experience might fit in to that.

Research Approach and Methodology

We took a systems-based and complexity-aware approach to helping MPI and other agencies improve the effectiveness of their approaches to developing and maintaining SLO and effective partnerships. The work of the research team comprises three interlinked phases. Collectively, this research develops new knowledge around how myrtle rust biosecurity response operations are experienced by stakeholders and unpacks the range of key components required for successful SLO and engagement (particularly partnerships). A mixed-method research approach was taken linking qualitative and quantitative methods across three groups of research participants to create a comprehensive picture of myrtle rust from the perspective of people interested, impacted and involved in response operations. This research contributes collectively to the development of two new rubrics, a set of personas and a values scale to support practitioners in response operations including long term management.

Phase 1 – Problem articulation: This phase involved a review of the literature and experiences of operational staff to provide an initial set of key components that underpin agency led SLO and partnerships efforts.

Phase 2 – Findings from the myrtle rust response: This phase sought to understand in a NZ/myrtle rust context how different stakeholder groups found the experience of the incursion response. Three key audiences were selected to provide different perspectives of stakeholder perceptions and behaviours in relation to the incursion response:

- Interested and impacted – A multi-regional internet survey with people who called the '0800' hotline to report or request information and those whose properties were restricted during response operations (see Bayne et al. 2019).
- Impacted - Interviews and focus groups with people who were impacted by the response in Taranaki (see Stronge et al. 2019).
- Motivated to be involved - Interviews with people who expressed an interest in being more actively involved in biosecurity operations (see Grant et al. 2019).

Phase 3 – Tool development: Initial rubrics were developed as a tool for planning and assessing SLO and partnerships. Each rubric sets out the criteria for, and provides guidance on, how the tasks or behaviours could be undertaken in a way that indicates good practice. They provide an aid to assist agencies efforts in developing and maintaining partnerships and social licence. We have also developed personas and a values-based scale as tools to support the development of more targeted communication and engagement strategies for both areas. These tools require specialised social and institutional process support to be used effectively, and we provide initial guidance in this area for future tool use and development.

Key results

Trust is central to SLO and it is communities who issue a SLO, therefore their perceptions, values, practices and expectations pertaining to biosecurity are important to understand if agencies wish to obtain the necessary public support to undertake their activities.

Social licence to operate and cross-sector partnerships (as an exemplary example of two-way engagement) are unpacked into their key constituent components of creating awareness and shared purpose, communication and engagement, relationships, managing SLO across scales, response to community concerns, procedural and distributional fairness (SLO) and common and agreed aims/goals, joint activities and contributions, communication and engagement, managing relationships (partnerships).

Assessment of these criteria in relation to the New Zealand myrtle rust incursion response indicates that all have relevance in underpinning and influencing stakeholder support, or otherwise, for biosecurity programmes. However, not all the criteria will be important in all situations. This illustrates the dynamic nature of SLO – it is not a static concept that can be obtained (or captured in a single investigation), rather it is something that needs to be continually evaluated and managed for.

As such SLO and engagement activities need to be reviewed and adapted according to the circumstances of different actors and what parts of the biosecurity system they are operating in. SLO activities need to be thought of, and initiated, well ahead on any incursion. Partnerships need to be developed in the light of immediate timeframes when an incursion happens, and then revised in the light of a change to long-term management.

We present three tools (rubrics, personas, QBL scales) to support MPI, their partners and their stakeholders to implement better decisions about investment, improve the design of pathway control strategies and maintain social license for the use of management tools in short and long-term management of myrtle rust.

Recommendations

It is recommended that MPI and other biosecurity agencies:

In the short-term:

- Introduce the SLO rubric (with facilitation support) to identify pilot areas where teams and programmes can actively explore how to improve the planning and assessment of operational SLO activities.
- Introduce the partnership rubric (with facilitation support) to identify pilot areas where teams and programmes want to actively explore how to improve the planning and assessment of operational partnership activities.
- Utilise the rubrics approach to develop a shared understanding of multi-partner situations across a range of performance areas. This is particularly useful in areas (e.g. welfare) where different partners and stakeholders hold diverse views what this means in practice.
- Work with the personas and QBL scales to develop communication and engagement strategies that are more targeted and specifically relate to the identities and values of impacted individuals and groups and help develop appropriate regional management response plans

In the medium term:

- Work with these initial SLO and partnerships rubrics (or some similar tools) to introduce key staff to their development and use in practice, and to ensure that all partnerships and SLO initiatives are planned and their performance assessed with the benefit of guidance that these tools provide.
- Build a knowledge exchange hub to support people in learning about effective response actions and their acceptability to communities, and to continue with surveillance and monitoring efforts to ensure impacts are acknowledge, shared and learnt from.

In general:

- In the need to manage a national event, don't forget the local context – SLO is issued by communities, so staying in tune with local perceptions, values, practices and expectations is critical in building and maintain SLO.

- Be mindful that not everyone shares the same perceptions, values, practices and expectations, but all are important; this will impact on messaging around strategy and on any attempts to engagement publics.

Contents

1 Project background

To better understand myrtle rust and limit its impact in New Zealand, the Ministry for Primary Industries commissioned a comprehensive research programme in 2017 with more than 20 projects valued at over $3.7 million. Projects in this programme were completed by June 2019.

The projects covered research in the following themes:

- Theme 1 - Understanding the pathogen, hosts, and environmental influence.
- Theme 2 – Building engagement and social licence: Improved understanding of public perceptions and behaviours to allow better decisions about investment, improved design of pathway control strategies and maintain social license for use of management tools.
- Theme 3 – Te Ao Māori: Greater understanding of Te Ao Māori implications of myrtle rust in order to support more effective investments, and improved use of Mātauranga, specific Māori knowledge, and kaupapa Māori approaches in management regimes.
- Theme 4 – Improving management tools and approaches: Improved diagnostic and surveillance speed, accuracy and cost-effectiveness, supporting eradication efforts and enabling scaling up of surveillance efforts for a given resource. More effective treatment toolkits to avoid emergences of MR resistance to treatments and to enable disease control over increasingly large scales that will lead to reduced or avoided impacts.
- Theme 5 - Evaluating impacts and responses: Improved understanding of environmental, economic, social and cultural, impacts to inform risk assessment and management and to communicate implications to decision/makers and stakeholders.

This report is part of the MPI commissioned research under contract MPI18607 which addressed research questions within Theme 2, 4 and 5.

Text in the report may refer to other research programmes carried out under the respective theme titles.

2 Introduction

2.1 MPI Myrtle Rust research programme

Myrtle rust (*Austropuccinia psidii*) is a fungal disease that affects plants of the Myrtaceae or myrtle family. Of South American origin, myrtle rust is highly invasive and is recognised internationally as a biosecurity problem (Makinson, 2018). First detected in New Zealand on Kermadec pōhutukawa trees on Raoul Island, myrtle rust was subsequently found on the mainland of New Zealand at Kerikeri in early May 2017 (NZ Government, 2017), leading to a biosecurity incursion response being implemented.

In September 2017 the Ministry for Primary Industries' (MPI) commissioned research into myrtle rust to address critical knowledge gaps in social, cultural and scientific knowledge relating to the management of myrtle rust in New Zealand, as identified by the Strategic Science Advisory Group (SSAG) (MPI 2017).

Four priority research themes and outcomes were identified by MPI (ibid):

- **Theme 1 – Understanding the pathogen, hosts and environmental influences**
- **Theme 2 – Building engagement and social licence:** Improved understanding of public perceptions and behaviours to allow better decisions about investment, improved design of pathway control strategies and maintain social license for use of management tools[1].
- **Theme 3 – Te Ao Māori:** Greater understanding of te ao Māori implications of myrtle rust in order to support more effective investments, and improved use of Mātauranga, specific Māori knowledge, and kaupapa Māori approaches in management regimes.
- **Theme 4 – Improving management tools and approaches:** Improved diagnostic and surveillance speed, accuracy and cost-effectiveness, supporting eradication efforts and enabling scaling up of surveillance efforts for a given resource. More effective treatment toolkits to avoid emergences of MR resistance to treatments and to enable disease control over increasingly large scales that will lead to reduced or avoided impacts.
- **Theme 5 - Evaluating impacts and responses:** Improved understanding of environmental, economic, social and cultural, impacts to inform risk assessment and management and to communicate implications to decision/makers and stakeholders.

2.2 Context

Following the arrival of myrtle rust into New Zealand in May 2017 MPI and the Department of Conservation (DOC), with the help of local iwi, the nursery industry, and local authorities ran an extensive operation to attempt to contain and control myrtle rust and determine the extent of its spread (MPI 2018). Despite the effort, the windborne nature of the disease meant that containment did not prove possible and management of the disease changed in May 2018 from intensive surveillance and the removal and destruction of host plants to long-term management. The transition to long-term management required MPI and the Department of Conservation (DOC) to engage with iwi and hapū, territorial authorities, the plant and nursery industries, and communities to support the development of regional programmes. Myrtle rust continues to be an unwanted organism throughout New Zealand (MPI 2018a).

This research spans the changes in operational mandate and provides findings and outcomes to support future response operations as well as ongoing efforts to manage myrtle rust.

[1] Tools in this sense is not just confined to the physical operational methods used to manage an incursion (i.e. spraying, mechanical removal etc.), but also includes the regulatory and operational processes and procedures that determine how they are used and what communication and engagement processes and approaches are associated with their use.

2.3 Theme "Building engagement and social licence"

This report provides an overview of the Theme "Building engagement and social licence" research. As noted above, the Theme "Building engagement and social licence" research sought to understand stakeholder perceptions and behaviours to allow better decisions about investment, improve the design of pathway control strategies and maintain social license for the use of management tools. A crucial part of achieving the Theme outcome was to understand "…public acceptance of management options… to inform future decisions on research, management and communications" (MPI 2017, p.6). It was recognised at the outset by the research team that these understandings would not in themselves lead to improvements in the design of pathway control strategies and maintenance of social license for the use of management tools. For this to occur, tools were needed to help agencies operationalise and embed these understandings into future incursion responses and evaluate progress in these areas. As such, this was incorporated as a key component of the research process.

Both Social Licence to Operate (SLO) and engagement[2] are important, but complex, areas of agency-led operational management for myrtle rust, and biosecurity in general. Biosecurity 2025 recognises that biosecurity is a collective effort (MPI 2016) and having "public support can be decisive in achieving response success" (MPI 2018b, p. 19). It emphasises the need for a 'partnership' between people, organisations, Māori, and central, local and regional government (Biosecurity New Zealand n.d.). We have focussed specifically on partnerships as a key element of the wider topic of engagement. Failure to maintain public support and comply with social expectations can result in costly conflicts and the possible suspension or failure of operations (Boutilier 2014). Accordingly, policymakers and agencies realise they cannot address New Zealand's biosecurity challenges without significant good will and collective action from land managers and a whole range of publics. This, in turn, is determinant on the presence of SLO and effective partnerships.

However, efforts to develop and maintain both SLO and engagement (particularly partnerships) are often hampered by a lack of clarity around the different components that underpin these concepts, and a lack of tools to guide and evaluate progress in these areas. For example, SLO is most often described in the literature as intangible and impermanent, subject to continual review and renewal by the different stakeholders involved (Parsons and Moffat 2014). However, these very hard to define qualities also perpetuate the difficulty that agencies have in operationalising the concept and their efforts to develop and maintain social license in practice. Similar problems face the role of those charged with planning and evaluating a range of cross-sector partnerships in a more collaborative biosecurity system. The lack of adequate planning and evaluation tools for assessing the performance of partnerships, particularly in their maintenance or implementation phase, has been identified as one of the main reasons for partnership failure (Piltan & Sowlati 2016).

Managers operating in these areas are addressing the need to improve tasks and behaviours characterised by complexity, uncertainty, interdependence and multiple social perspectives (Cvitanovic et al. 2016; Allen et al. 2017). Tools that facilitate integrated knowledge, information transfer and collaboration among multiple actors are therefore required to support managers at different levels with their decision-making in biosecurity incursions response. An effective guide to performance management in aspects of SLO and partnerships can help by providing timely information to improve these ongoing initiatives as they are being implemented, and to review and document their progress.

3 Methodology

The research brief for Theme "Building engagement and social licence" sought an understanding of stakeholder perceptions and behaviours in relation to the management of myrtle rust in New Zealand. Noting, as outlined above, that for this to be useful to agencies, tools to operationalise and embed these understandings into future incursion responses and evaluate progress in these areas, would also be needed.

[2] The two concepts are linked, with engagement (particularly partnerships) being recognised as a key underpinning component of SLO (Dare et al. 2014, Edwards & Trafford 2016).

We took a systems-based and complexity-aware approach to helping MPI and other agencies improve the effectiveness of their approaches to developing and maintaining SLO and effective partnerships. This approach recognises that developing and maintaining SLO and partnerships are processes that need to be managed as complex systems through an adaptive management process.

In order to obtain the best snapshot possible of the varied stakeholder perceptions across the country, within the resources available, we utilised a mixed-methods approach in the research design - linking interviews, focus groups, literature reviews, and a survey through theme, values and factor analysis. Mixed methodology emphasises the "appropriateness of those methods for answering research questions" (Bryman 2008, p. 19) and "…sees methods as emergent and dependent upon both question and context" (O'Leary, 2010, p. 96). Because of the widespread nature of the myrtle rust incursion (*context*) we chose methods that would give us both breadth (i.e. survey) and depth (i.e. case study and interviews) in understanding of stakeholder perceptions (*question*). Furthermore, we wanted to ensure our focus could capture the short- and longer-term management perspectives. No one approach could reveal the whole story. Taking a mixed methods approach helped surface and highlight different viewpoints of the response and addressed the limitations of each method to provide a more comprehensive picture of responses to myrtle rust. In addition to addressing the limitations of any one method, mixed methods are also often used for triangulation, i.e. to validate areas of commonality.

The work of the research team comprised three interlinked phases (Figure 1).

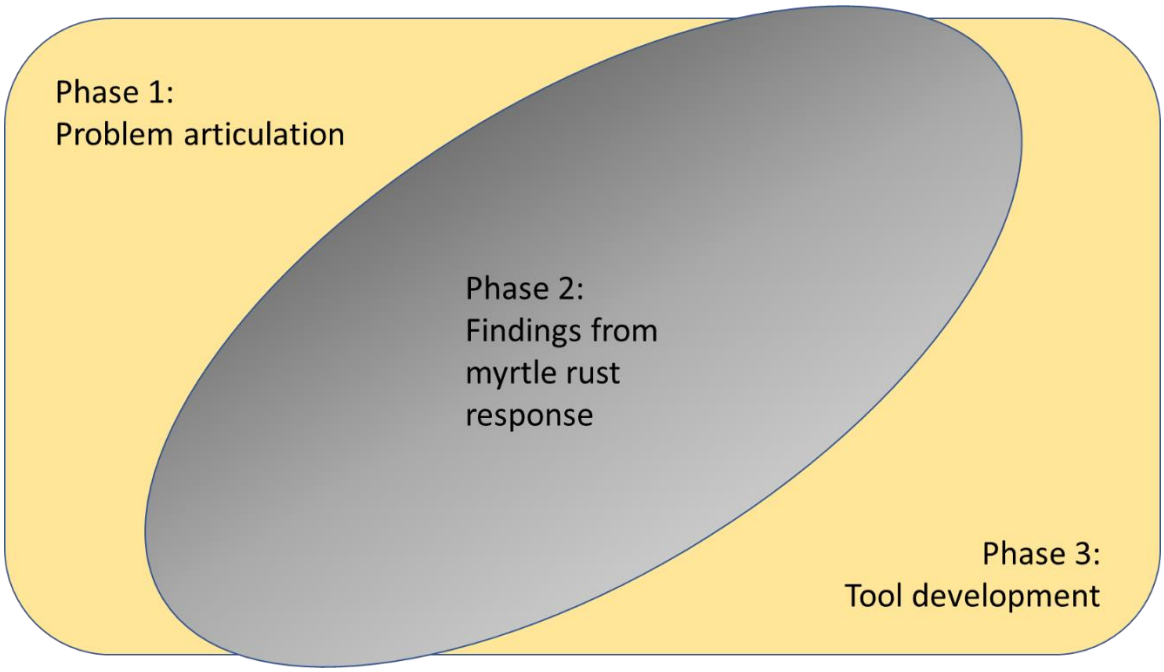

Figure 1: Three phases of the research process

Phase 1 – Problem articulation

An initial set of interviews was conducted with key operational personnel to articulate their experiences of the response operations, with a focus on aspects of engagement and social licence. A desktop review of New Zealand and international knowledge on social licence and partnerships using research literature and policy/response documents was also conducted. Thematic analysis of these provided an initial set of key components that underpin agency led SLO and partnerships efforts. These key components were grounded with biosecurity agency staff in two subsequent workshops (SLO criteria in August 2018 – and partnerships criteria in September 2018). We introduced rubrics as a planning and evaluation-specific methodological framework to identify key criteria underlying efforts to develop and maintain SLO and partnerships in biosecurity together with response agencies and their stakeholders.

Phase 2 – Findings from the myrtle rust response

This phase sought to understand in a NZ/myrtle rust context how different stakeholder groups found the experience of the incursion response, thus contributing to new knowledge on myrtle rust management in NZ and to the broader international knowledge gap on how biosecurity response operations are experienced by stakeholders (Porth et al. 2015). To provide both breadth and depth in the understanding, three key groups were selected to provide different perspectives of stakeholder perceptions and behaviours in relation to the incursion response. These groups were:

- Interested and impacted – A multi-regional internet survey with people who called the '0800' hotline to report or request information and those whose properties were restricted during response operations (see Bayne et al. 2019).
- Impacted - Interviews and focus groups with people who were impacted by the response in Taranaki (see Stronge et al. 2019).
- Motivated to be involved - Interviews with people who expressed an interest in being more actively involved in biosecurity operations (see Grant et al. 2019).

Each of the above research strands (Bayne et al 2019; Stronge et al 2019; Grant et al 2019) used robust and proven social science methods to draw insights into how the myrtle rust response was perceived by stakeholders (see each report for method details). We used non-random or purposive techniques to select participants for each standalone investigation. The aim of this was to select information-rich participants who have detailed knowledge or experience of the issue under investigation (Curry, Nembhard, & Bradley, 2009). While there are several different sampling strategies available for purposively selecting participants (Collins, 2010; O'Leary, 2010; Patton, 2015), we used criterion sampling, where all the participants meet some specific criteria (Patton, 2015). In this instance the criteria were those people interested, impacted and/or motivated to be involved in the myrtle rust response and therefore held a view on the incursion process.

These inquiries were written up to provide lessons from each of these three groups and methods. Lessons were drawn out as they contributed to understanding key activities that underpin agency SLO and partnership efforts, and as they uncovered broader biosecurity response and engagement issues.

Phase 3 – Tool development

Recognising that the understandings of stakeholder perceptions gleaned from the Phase 2 reports would not in themselves lead to improvements in the design of pathway control strategies and maintenance of social license. For the use of management tools, two initial rubrics were developed for social licence and partnerships (Allen et al. 2019) to assist agencies support their efforts in developing and maintaining partnerships and social licence.

In addition, we have developed a set of values-based statements to represent the quadruple bottom line (social, cultural, economic and environment), that provide a reliable scale for measuring value alignments through survey (Bayne et al, 2019). This scale can be used to measure differences in values across regions or with different segments of the community to support the development of communication and engagement strategies.

We have also developed personas as a tool to support the development of more targeted communication and engagement strategies and selection of potential management options. The largest benefit of creating and having personas is a clear picture of specific user types that agencies can focus on and to align their communication and engagement strategies around (Flaherty 2018). Our development of personas also shows different types of concerns to help guide selection of management actions. These tools require specialised social and institutional process support to be used effectively, and we provide initial guidance in this area for future tool use and development.

The development of the rubrics builds on both the experience of the research team and a review of international and national literature around strengthening activities that support engagement and SLO, particularly focusing on experience in adaptive management of natural resources and environmental issues. The use of rubrics for each of these areas are novel approaches for biosecurity. This work incorporates and links with the other research initiatives in this theme. Each

rubric sets out criteria and provides guidance on how tasks or behaviours could be undertaken in a way that indicates good practice for developing and maintaining social licence and effective partnerships. The report also illustrates how rubrics can be adapted to fit the specific needs of different agency staff, and guidance on how teams can best reflect on their performance and their use of the rubrics to assess progress and gain insights.

Overview Report

This report consolidates each of the standalone investigations outlined above (i.e. Bayne et al. 2019; Stronge et al. 2019; Grant et al. 2019 and Allen et al. 2019) and presents the high-level findings of our research strands to bring them together into a comprehensive picture of the myrtle rust short term response and the factors that influenced communities granting or revoking SLO. These findings, tools and recommendations set the groundwork for future iterations of systems change to support MPI, their partners and their stakeholders to implement better decisions about investment, improve the design of pathway control strategies and maintain social license for the use of management tools in short and long-term management of myrtle rust. The tools and lessons are also applicable to other contexts of biosecurity.

4 Research strands and key results

The key results from each of the related phases of work is set out below:

Phase 1 – Problem articulation

The main findings from Phase 1 was the consolidation, from the literature and experiences from key operational personnel, of a set of key components that underpin agency led SLO and partnerships efforts (Figure 2 and 3). As the figures illustrate, trust is central to these concepts.

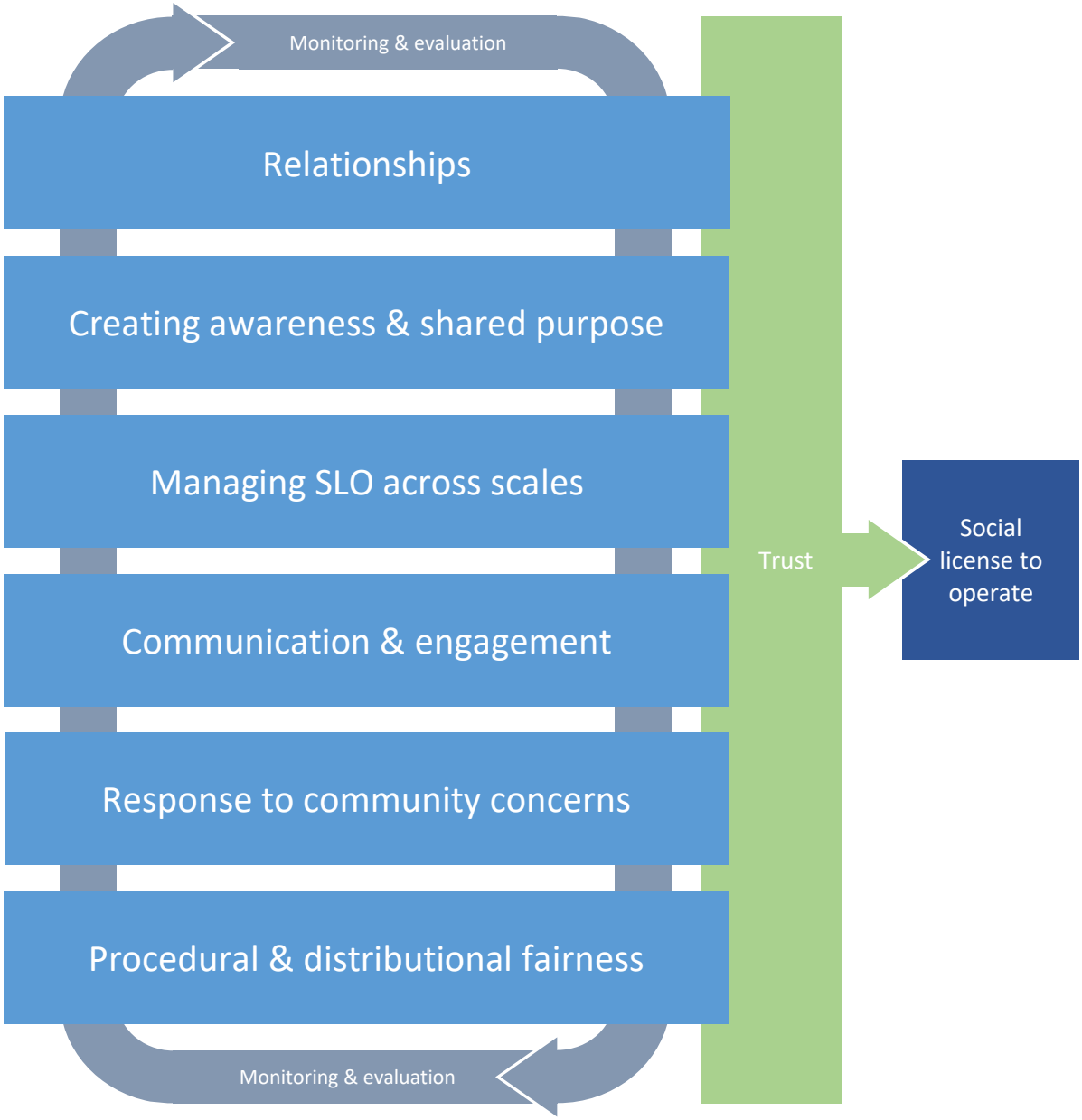

Figure 2: Key SLO criteria (source Allen et al 2019)

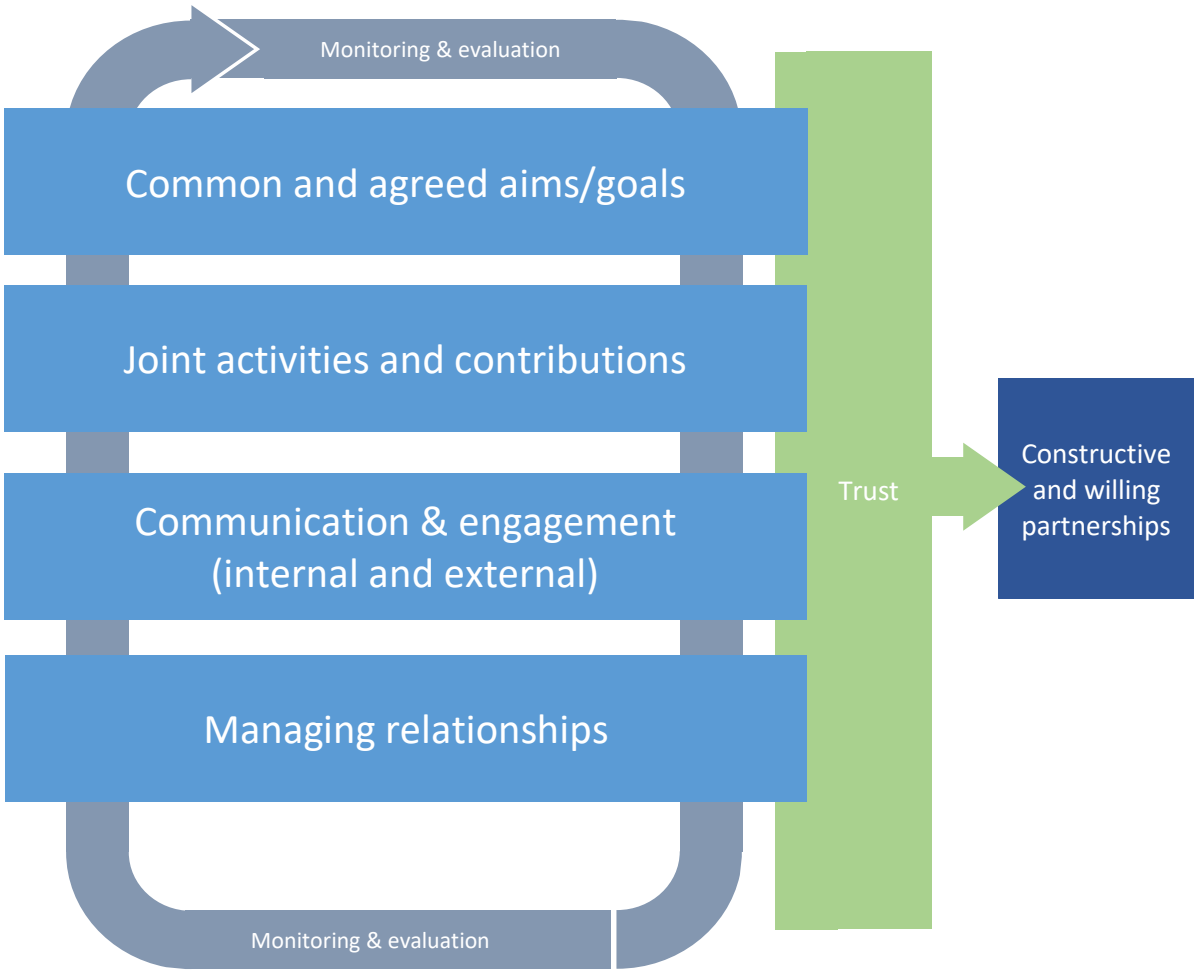

Figure 3: Key partnership performance criteria (Source Allen et al 2019)

Efforts to develop and maintain both SLO and engagement (particularly partnerships) are often hampered by a lack of clarity around the different components that underpin these concepts which in turn perpetuates the difficulty that agencies have in defining the concept and their efforts to develop and maintain it (Allen et al 2019). Our initial phase helped to articulate some of the issues of engagement and social licence from the perspectives of operational personnel. Unpacking SLO and partnerships into their key constituent components as they may apply to the biosecurity sector is a critical first step in assisting biosecurity agencies to understand what SLO is so that their efforts to develop and maintain it are focused on the right areas.

Phase 2 – Findings from the myrtle rust response

This phase sought to understand in a NZ/myrtle rust context how different stakeholder groups found the experience of the incursion response. Because it is communities who issue a SLO their perceptions, values, practices and expectations pertaining to biosecurity are important to understand if agencies wish to obtain the necessary public support to undertake their activities. The criteria developed in Phase 1 (Figures 2 and 3) were investigated in relation to the myrtle rust biosecurity response and engagement process to determine how they influenced stakeholder perceptions of SLO and partnerships,

It was clear from the survey, case study and motivated networks research that people recognised the importance of biosecurity to their industry, to their region and to New Zealand and were motivated to act, at least initially, in the abstract (Bayne et al. 2019; Stronge et al. 2019; Grant et al. 2019). This shows that the many awareness and pre-incursion activities undertaken by MPI and other agencies with an involvement in the biosecurity space are contributing positively to a national and regional social licence.

However, support for management aims at the high level did not necessarily translate to support at smaller scales or for specific actions. The specific interests underlying an individual's or an organisation's concern did not necessarily align perfectly with the myrtle rust response aims because myrtle rust was typically only one of several priorities competing for their attention and resources. This highlights the importance of managing SLO across scales (Figure 2). As illustrated by the Taranaki case study, issues arose as the incursion grew ever larger and agencies focused on managing the national big picture, at the expense of local concerns and expectations. As a result, the initial support biosecurity agencies had was eroded as participants felt excluded and ignored. These concerns grew further over time, particularly as the likelihood of eradication diminished and a transition towards long-term management was expected. That changing context shifted how people perceived the relative costs and benefits of control, so that the continued removal of valued trees or the cumulative burdens of compliance over time were no longer seen as necessary or worth the sacrifice (Stronge et al 2019; Bayne et al 2019). It was also clear that some people's interest and involvement diminished following the shift to long-term management because they no longer saw the disease as a threat to their particular interests or because they believed that agencies were no longer as committed to addressing the issue (Grant et al 2019).

Examples, (both positive and negative) of the other key criteria (Figure 2) and how they influenced SLO were also surfaced during the survey, case study and motivated networks research (see Bayne et al. 2019; Stronge et al. 2019; Grant et al. 2019). For instance, there were response staff involved who provided exemplary channels to hear people talk about their concerns. This response to community concerns (Figure 2) generated positive personal interactions which had a lasting effect on respondents (Bayne et al 2019; Stronge et al 2019). Because of the respect and concern shown to them for their well-being and for the issues particular to their situation, participants expressed their continued trust in these people resulting in positive perceptions around aspects of SLO. However, examples were also given of response staff exhibiting low technical awareness around the potential spread of the pathogen which lowered SLO perceptions.

All the key partnerships performance criteria (Figure 3) were highlighted across the case study and motivated networks investigations. Both positive and negative examples were given of the importance of these criteria for the development and maintenance of partnerships during the incursion response phase and transition to long term management. For example, participants showed a general area of common concern around protecting plants from myrtle rust infection, but while the desired direction was largely the same, they saw different means of achieving this (Grant et al 2019). Participants were also positive about relationships, particularly between agencies (i.e. MPI and DOC), however generally all felt that the end of the response phase left relationships hanging as MPI withdraw operations (ibid).

It was the perceived inconsistencies in the delivery of actions within the SLO and partnerships criteria (Figure 2 and 3) that caused the most concern for participants and which influenced their granting or revoking of social licence (Stronge et al 2019; Bayne et al 2019). For example, the lack of a clear and consistent message (communications) from response agencies and MPI, coupled with at times apparently inconsistent response action drew public concern. While there was an appreciation that agencies tried to engage with honesty and transparency to each case, there were some concerns about the effect of changing operations as the situation unfolded and the extent of myrtle rust presence became apparent. Some responses suggest that the agency was not well prepared for engaging people beyond response operations or to help them to expect changes. This research highlights that the criteria outlined in Figures 2 and 3 are relevant to developing and maintaining SLO in the biosecurity setting. It further highlights that context is key and not all the criteria will be important in all situations. Neither Bayne et al (2019) or Stronge et al (2019) found all the criteria identified in Figure 2 as being relevant to the groups they investigated. However jointly, both studies confirmed the importance of all the criteria for SLO. Further in-depth investigation into the myrtle rust incursion response (or other response operations) in other regions of the country would likely highlight different (and potentially additional) criteria that biosecurity agencies need to consider in their quest to acquire SLO for their activities. This illustrates the dynamic nature of SLO

– it is not a static concept that can be obtained (or captured in a single investigation), rather it is something that needs to be continually evaluated and managed for.

Phase 3 – Tool development

Understanding community perceptions, values, practices and expectations pertaining to biosecurity will not on their own lead to improvements in the design of pathway control strategies and maintenance of social license for the use of management tools. For this to occur, biosecurity agencies need to take these understandings and progressively engage more meaningfully with partners and stakeholders and enter dialogue based on participation, trust and understanding. Through the Phase 1 and 2 research we identified the key constituent components of SLO and partnerships and the influence they had on the granting or revoking of social licence.

Two indicative rubrics (Appendix 2) have been developed in order to help agencies plan and assess their activities to strengthen and maintain both SLO and cross-sector partnership efforts with their different partner and stakeholder communities (Allen et al 2019). Rubrics identify what matters in efforts to develop and maintain both social licence to operate and cross-sector partnerships – both as exemplars of good engagement, and how to assess such initiatives in terms of what can be confidently regarded as good practice. They provide a mechanism to help MPI and other agency biosecurity teams to develop clarity around the different components that underpin SLO and engagement, and as a tool to guide and evaluate progress in these areas.

We also developed a reliable set of six values-based factors that represent the quadruple bottom line (social, cultural, economic and environment) as well as socio-cultural and environmental equity value statements (Bayne et al 2019). These provide a scale for measuring value alignments. When testing survey responses to statements against a QBL scale used in an Australian value-based assessment of research (Donovan, 2008), we found an additional two to more reliably representing the mix of values from our sample of interested and impacted survey respondents. This scale can be used to measure differences in values across regions or with different segments of the community. Understanding these differences can help those developing communication and engagement strategies to better tailor their interactions and target specific audiences according to what concerns them or what values they care about.

Five personas or characterisations of response (Appendix 1) were generated from the survey (Bayne et al 2019). Personas help to understand stakeholders needs, experiences, behaviours and goals by consolidating "…archetypical descriptions of user behaviour patterns into representative profiles, to humanise design focus, test scenarios, and aid design communication" (Cooper 2004). An important aspect of the personas developed by Bayne et al (2019) is that they not only provide agencies with further insight into stakeholder perceptions and behaviours relating to the myrtle rust response, they also provide insight into the public acceptance of management options. For example, Persona 1 was most comfortable with 'Gathering seed from uninfected areas to conserve susceptible species' and least comfortable with 'Removal of plants from private property' (see Bayne et al 2019 – Appendix D). The personas developed from the survey can inform potential communication and engagement activities for different segments of the community and to help determine acceptable management options nationally and across different regions (Bayne et al 2019). This persona set provides an additional tool which could be applied in other outbreak regions throughout New Zealand through any future national response management engagement process. Understanding this diversity can help tailor communication messages and engagement strategies with aspects that concerned people (ibid).

Our research, using mixed methods of inquiry through four inquiry strands, has focused on gaining a snapshot of activities in a short period of time. However, our intention was to generate tools that could be gainfully applied to support engagement and social licence over a longer period of time. In particular, we acknowledge that social licence is a cyclical process – it must be continually managed for. These tools and findings are designed so that they can be used proactively by incursion management teams in re-grounding their perspectives according to operational changes or developments in knowledge about impacts across different values and possible response actions.

These tools need to be seen as both process and product. They are best developed and used by involving practitioners and stakeholders in a facilitated process of analysis and reflection. At the same time these processes result in documentation (rubrics and personas) provides a guiding

framework for the project team and stakeholders. Initial guidance is provided in these reports for their use in operational practice, along with opportunities to incorporate survey tools to support strategic development of communication, engagement and operational activities.

5 Conclusions

Social licence to operate is not what agencies see looking out, but what affected communities and stakeholders see looking in. It is communities who issue a SLO (Prno, 2013), so their perceptions, values, practices and expectations pertaining to biosecurity are important to understand if agencies wish to obtain the necessary public support to undertake their activities.

For biosecurity agencies to nurture a SLO from communities and achieve Biosecurity's 2025 objective of 4.7 million willing participants, the biosecurity system needs to be seen to acknowledge and respond to society and not force society to reflect the system. As Prno (2013) notes, context is key to SLO. Communities are heterogenous, so a one-size-fits-all approach will likely not address all the community-specific concerns. Understanding the social, economic, environmental and cultural variables and expectations that are specific to a community are important in generating SLO. Biosecurity agencies need to recognise this and match their management and communication practices and techniques to these diverse contexts and expectations (ibid.).

SLO and engagement activities need to be reviewed and adapted according to the circumstances of different actors and what parts of the biosecurity system they are operating in. SLO activities need to be thought of, and initiated, well ahead on any incursion. Partnerships would need to be developed in the light of some immediate timeframe when an incursion happens, and then revised in the light of a change to long-term management.

Through this research Social Licence to Operate and Cross-sector Partnerships (as an exemplary example of two-way engagement) are unpacked into their key constituent components. These components are assessed in relation to the New Zealand myrtle rust incursion response to gain an understanding of what factors underpin and influence stakeholder support, or otherwise, for biosecurity programmes.

The personas and the QBL scale are tools that can assist with developing communication and engagement strategies for addressing diversity in community response to impact and management options. Indicative rubrics are presented for helping agencies plan and assess their activities to strengthen and maintain both SLO and cross-sector partnership efforts with their different partner and stakeholder communities.

These tools can help biosecurity agencies to progressively engage more meaningfully with partners and stakeholders and enter dialogue based on participation, trust and understanding. Rubrics identify what matters in efforts to develop and maintain both social licence to operate and cross-sector partnerships – both as exemplars of good engagement, and how to assess such initiatives in terms of what can be confidently regarded as good practice. These rubrics can be used to help introduce a systematic approach to plan such activities and to provide a practical mechanism to clarify the benefits of these efforts to all participants.

A remaining challenge is to get agencies and other key stakeholder groups to see rubrics such as these as both process and product and to move beyond a metric of evaluation to increase capacity to work more collectively toward agreed outcomes. In turn, this will require operational biosecurity teams to move beyond their current focus on technical expertise to also include people with skills in surfacing diverse perspectives of operations, listening and actively engaging with a range of partners. This recognises the intent of the Biosecurity 2025 Direction Statement which emphasises the need for agencies to work more closely with communities in future biosecurity operations. In doing so they will need to use tools such as these rubrics to adapt their process to be progressively more inclusive and aware of community concerns, including those related to how response operations are conducted.

6 Recommendations

Each of the individual reports from the three research projects in phase 2 contain specific recommendations relevant for engaging and partnering with the audiences they focus on, that is, people and organisations who were:

- Interested or impacted (Bayne et al. 2019);
- Impacted directly (Stronge et al. 2019); or
- Motivated to be involved (Grant et al. 2019).

This report provides a synthesis of the recommendations from the these and the rubrics tool development.

It is recommended that MPI and other biosecurity agencies:

In the short-term:

- Introduce the SLO rubric (with facilitation support) to identify pilot areas where teams and programmes can actively explore how to improve the planning and assessment of operational SLO activities.
- Introduce the partnership rubric (with facilitation support) to identify pilot areas where teams and programmes want to actively explore how to improve the planning and assessment of operational partnership activities.
- Utilise the rubrics approach to develop a shared understanding of multi-partner situations across a range of performance areas. This is particularly useful in areas (e.g. welfare) where different partners and stakeholders hold diverse views what this means in practice.
- Work with the personas and QBL scales to develop communication and engagement strategies that are more targeted and specifically relate to the identities and values of impacted individuals and groups and help develop appropriate regional management response plans

In the medium term:

- Work with these initial SLO and partnerships rubrics (or some similar tools) to introduce key staff to their development and use in practice, and to ensure that all partnerships and SLO initiatives are planned and their performance assessed with the benefit of guidance that these tools provide.
- Build a knowledge exchange hub to support people in learning about effective response actions and their acceptability to communities, and to continue with surveillance and monitoring efforts to ensure impacts are acknowledge, shared and learnt from.

In general:

- In the need to manage a national event, don't forget the local context – SLO is issued by communities, so staying in tune with local perceptions, values, practices and expectations is critical in building and maintain SLO.
- Be mindful that not everyone shares the same perceptions, values, practices and expectations, but all are important; this will impact on messaging around strategy and on any attempts to engagement publics.

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9 Appendix 1: Persona results

PERSONA 1:

Had HIGH agreement with following statements:

- Ensuring any actions taken or controls used (fungicides etc.) are safe for animals
- Improving the quality of our water and air
- Keeping pets and livestock safe during the response operation
- Ensuring any actions taken or controls used (fungicides etc.) are safe for humans
- Ensuring myrtle rust doesn't spread to neighbouring properties
- Ensuring any controls used (fungicides etc.) don't get into waterways
- Maintaining social bonds with family and friends
- Ensuring an inclusive and diverse society
- Celebrating our heritage as a nation

Had LOW agreement with following statements:

- Having native myrtles present in the natural environment after the operation
- Being able to still grow myrtle plants in my home garden following the response operation
- Maintaining a high standard of living
- Business continuity for growers of myrtle plants during the response operation
- Ensuring any actions taken recognise indigenous relationships to trees and landscape features
- Maintaining the food safety of edible fruit and vegetables following any action taken
- Ensuring iconic New Zealand myrtles are protected from myrtle rust
- Reducing my personal consumption of goods and resources
- Ensuring continued access to my property or business during any control operation

Demographic indicators
- Pakeha
- Not Asian
- Female
- Secondary school leaver in 6-7 form
- Aged 35-55
- Lower overall income (under $70k pa personal income)

The statements of agreement tend to relate to ensuring the environment and those involved are kept safe as a result of the response operation. The values statements also show a persona that places importance on society. The statements also show lower importance on protecting myrtle species from the disease/ business continuity and protecting the status quo through eradication.

PERSONA 2:

Had HIGH agreement with following statements:
- Maintaining the quality of New Zealand's environment
- Controlling the disease from spreading and establishing in new areas
- Being able to quickly identify if a tree is infected with myrtle rust
- Ensuring any actions taken (removal of plants etc.) is effective at minimising myrtle rust spread
- Protecting New Zealand biodiversity and our natural environment
- Ensuring iconic New Zealand myrtles are protected from myrtle rust
- Maintaining personal health and wellbeing
- Improving the quality of our water and air
- Ensuring myrtle rust doesn't spread to neighbouring properties

Had LOW agreement with following statements:
- Being able to still grow myrtle plants in my home garden following the response operation
- Ensuring continued access to public areas under a control operation

- Ensuring continued access to my property or business during any control operation
- Business continuity for growers of myrtle plants during the response operation
- The ability to still rent or sell my property or business during a control operation
- Growing the Māori economy
- Maintaining a high standard of living
- Maintaining global competitiveness
- Businesses can maintain an organic status following the response operation

Demographic indicators
- Maori or permanent resident
- Female
- Completed university post graduate course
- Higher than $100k pa household income
- $70-100k pa personal income
- 25-34 year age group

The statements of agreement tend to relate to ensuring a quick and effective response, in order to protect the natural environment. These persons were less concerned with personal freedoms and business continuity, as well as access issues, and valued environmental statements highly while placing low importance on economic statements.

PERSONA 3:

Had HIGH agreement with following statements:
- Being able to quickly identify if a tree is infected with myrtle rust
- Maintaining personal health and wellbeing
- Ensuring any actions taken or controls used (fungicides etc.) are safe for humans
- Ensuring any actions taken (removal of plants etc.) is effective at minimising myrtle rust spread
- Controlling the disease from spreading and establishing in new areas
- Maintaining the food safety of edible fruit and vegetables following any action taken
- Maintaining the quality of New Zealand's environment
- Ensuring any controls used (fungicides etc.) don't get into waterways
- Keeping pets and livestock safe during the response operation

Had LOW agreement with following statements:
- Ensuring any cultural impacts from a response are managed
- Ensuring response operations engage mana whenua (local Māori)
- Being able to still grow myrtle plants in my home garden following the response operation
- Ensuring any actions taken recognise indigenous relationships to trees and landscape features
- Growing the Māori economy
- Reducing my personal consumption of goods and resources
- Understanding our past and future aspirations as a society
- Maintaining my cultural values and practices
- Ensuring continued access to public areas under a control operation

Demographic indicators
- Asian or permanent resident
- Economic values
- Completed secondary school to form 5
- Aged 18-24 or 75-84
- $40-70k pa personal income

The statements of agreement tend to relate to ensuring a safe and effective response, without damage to environment. These persons were not concerned with indigenous cultural impact, heritage or engagement.

PERSONA 4:

Had HIGH agreement with following statements:
- Ensuring any controls used (fungicides etc.) don't get into waterways
- Ensuring any actions taken or controls used (fungicides etc.) are safe for humans
- Being able to quickly identify if a tree is infected with myrtle rust
- Maintaining the quality of New Zealand's environment
- Controlling the disease from spreading and establishing in new areas
- Ensuring any actions taken (removal of plants etc.) is effective at minimising myrtle rust spread
- Ensuring any actions taken or controls used (fungicides etc.) are safe for animals
- Keeping pets and livestock safe during the response operation
- Maintaining the food safety of edible fruit and vegetables following any action taken

Had LOW agreement with following statements:
- Maintaining a high standard of living
- Growing the Māori economy
- Maintaining my cultural values and practices
- Maintaining global competitiveness
- Reducing my personal consumption of goods and resources
- Ensuring continued access to public areas under a control operation
- Celebrating our heritage as a nation
- Understanding our past and future aspirations as a society
- Achieving financial freedom

Demographic indicators
- NZ citizen
- Identified as New Zealander or Pakeha
- Completed some university or wananga training
- Neither very young nor very old
- Lower than $40kpa household income
- Lower than $40kpa personal income

The statements of agreement tend to relate to ensuring a safe response, particularly for animals, and environment, and also that any action taken is effective. These persons were not as concerned with economy or cultural values (possibly as they don't have the income to achieve high living standard and financial freedom?).

PERSONA 5:

Had HIGH agreement with following statements:
- Ensuring any actions taken or controls used (fungicides etc.) are safe for humans
- Improving the quality of our water and air
- Ensuring any actions taken or controls used (fungicides etc.) are safe for animals
- Keeping pets and livestock safe during the response operation
- Having native myrtles present in the natural environment after the operation
- Maintaining the food safety of edible fruit and vegetables following any action taken
- Maintaining the quality of New Zealand's environment
- Ensuring any actions taken recognise indigenous relationships to trees and landscape features
- Protecting New Zealand biodiversity and our natural environment

Had LOW agreement with following statements:
- Maintaining global competitiveness
- Ensuring continued access to public areas under a control operation
- Growing the Māori economy
- Ensuring myrtle rust doesn't spread to neighbouring properties
- Ensuring continued access to my property or business during any control operation
- Reducing my personal consumption of goods and resources
- Controlling the disease from spreading and establishing in new areas
- Maintaining my cultural values and practices
- Being able to quickly identify if a region is at risk from myrtle rust

Demographic indicators

- Pakeha or NZ citizen
- Less likely to be Maori or Asian
- Completed secondary school to 6-7 form
- Middle aged (25-65yrs)

The statements indicate importance in ensuring tools used are safe for those affected, as well as an importance placed on native species, biodiversity and indigenous relationships with native species. This persona places less importance on ensuring the disease is contained geographically. This persona places an emphasis on the quality of response (long term biodiversity outcome of indigenous flora) over the timeframe, containment or personal accessibility aspects.

10 Appendix 2: SLO and Partnerships rubrics – with performance standard guidelines

SLO rubric

Performance Criteria	1	2	3	Evidence of Performance
Creating awareness and shared purpose: Stakeholder geography mapped. Strategic direction is jointly planned, theories of change are set out and agreed. Mutual benefit is identified in agreed outcomes and a shared agenda. Plans (#s) are well documented, and targets and milestones are met (%). Partnerships recognised as important. Partners prioritise joint work and their contribution to that.				
Communication and engagement: Multiple communication channels and methods are in place. Plans recognise and support a continuum of two-way and one-way communication activities. Plans identify a rationale and guidance for appropriate activities at key points in the relationship (adjusted for different stakeholders/ audiences).				
Relationships: Social and cultural links built with key stakeholders and others that can be "champions" back to their community during "peacetime". Staff turnover is low and seamless. Multiple institutional linkages are in place between partner agencies.				
Managing across different levels/scales: Implementation is jointly planned, and synergies are identified. Partners integrate their delivery of joint work. The partnership has developed clear templates for processes and delegations. Project risk management processes are mapped and followed. Contribution and alignment extend into partner agencies and work programmes. Those involved have the skills and capacities to manage their tasks in a competent manner. Milestones met – in terms of quality and timeliness.				
Response to community concerns: Providing good channels and forums to hear people talk about their concerns and issues. A commitment is maintained to resolve conflicts, and skills developed for conflict resolution. Organisational ability to change. Supporting communities to initiate engagement themselves. Provision of local benefits.				
Procedural and distributional fairness Respect and consideration given to people – demonstrated through evidence of approaches to legitimacy, dialogue, equality, commitment, fairness, and integrity.				
Reflections on how it's all going: Agency staff and teams regularly check in on each other and how they are going, both collectively and individually. A named person is responsible for team evaluation (preferably outside the response structure). Time is set aside for this, and there is a link between reflection and milestones. Reflection is open and 'formalised' as part of regular practice. Access to good data and information is critical. 'Lessons learned' are readily applied.				

Assessment guide: 1 = Developing, 2 = Good, 3 = Excellent

Partnerships rubric

Performance Criteria	1	2	3	Evidence of Performance
Common & agreed aims/goals: Strategic direction is jointly planned, theory of change set out and agreed. Mutual benefit is identified in agreed partnership outcomes and a shared agenda. Mandate and legitimacy are clarified and acknowledged. Plans (#s) are well documented, and targets and milestones are clearly set out. Partners prioritise joint work and their contribution to that.				
Joint activities & contributions: Implementation is jointly planned, and synergies are identified. Partners integrate their delivery of joint work. The partnership has developed clear templates for processes and delegations. Risk management processes are mapped and followed. Contribution and alignment extend into partner agencies and work programmes. Collectively, partners have enough resources and capacity to undertake their aims. Targets and milestones are met – in terms of quality and timeliness.				
Communication & engagement: Multiple communication channels and methods are in place. Communication is seen as including both one-way and two-way (dialogic) modes. Internally, partners freely share ideas and initiate dialogue. Final 'products' and documents have shared authorship and are exchanged on a regular basis. Communication links the immediate partnership back through the partners respective organisations/communities. Externally partners are well networked, and they maintain and build social capital external to the group.				
Managing relationships Partners proactively discuss issues. Conflict situations are actively managed. Partner organisational culture supports participatory approaches. Partners 'back each other'. Multiple institutional linkages are in place between partners agencies.				
Monitoring and evaluation: Partners regularly check in on each other and how they are going, both collectively and individually. Reflection is open and 'formalised' as part of regular practice. 'Lessons learned' are readily applied.				

Assessment guide: 1 = Developing, 2 = Good, 3 = Excellent